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TRANSMITTAL FORM <i>(to be used for all correspondence after initial filing)</i>		Application No.	09/843,597
		Filing Date	April 26, 2001
		First Named Inventor	Thomas W. Mossberg
		Group Art Unit	
		Examiner Name	
Total Number of Pages in This Submission	14	Attorney Docket Number	5455P002

ENCLOSURES (check all that apply)		
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Firm or Individual name	Gregory D. Caldwell, Reg. No. 39,926 BLAKELY, SOKOLOFF, TAYLOR & ZAFMAN LLP
Signature	
Date	June 6, 2001

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Attorney Docket No.: 5455P002



IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In Re: Application of:

THOMAS W. MOSSBERG

Application No.: 09/843,597

Filed: April 26, 2001

For: **OPTICAL PROCESSOR**

Art Group:

Examiner:

INFORMATION DISCLOSURE STATEMENT UNDER 37 C.F.R. §1.97

Assistant Commissioner for Patents
Washington, D.C. 20231

Sir:

In accordance with the duty of disclosure under 37 CFR § 1.56 and in accordance with 37 C.F.R. § 1.97, enclosed is a copy of Information Disclosure Citation Form PTO-1449 together with copies of the documents cited on that form. It is respectfully requested that the cited documents be considered and that the enclosed copy of the Information Disclosure Citation Form PTO-1449 be initialed by the Examiner to indicate such consideration and a copy thereof returned to applicant(s).

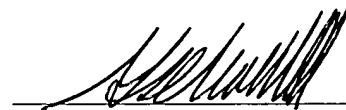
Pursuant to 37 C.F.R. § 1.97, the submission of this Information Disclosure Statement is not to be construed as a representation that a search has been made and is not to be construed as an admission that the information cited in this statement is material to patentability.

Please charge any additional fee due to Deposit Account 02-2666. A duplicate copy of the Fee Transmittal is enclosed for this purpose.

Respectfully submitted,

BLAKELY, SOKOLOFF, TAYLOR & ZAFMAN LLP

Date: June 06, 2001




Gregory D. Caldwell, Reg. No. 39,926

12400 Wilshire Blvd., 7th Floor
Los Angeles, California 90025
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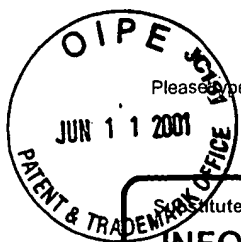
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Substitute for form 1449A/PTO

INFORMATION DISCLOSURE STATEMENT BY APPLICANT

Complete if Known

Application Number **09/843,597**
Filing Date **April 26, 2001**
First Named Inventor **Thomas W. Mossberg**
Group Art Unit
Examiner Name
Attorney Docket Number **005455.P002**

Sheet **i** of **11**

U.S. PATENT DOCUMENTS

Exam. Initials	Cite No.	Document Number	Date	Name	Class	Sub-class	Filing Date (if appropriate)
	1	4,140,362	02/20/79	Tien			
	2	4,387,955	06/14/83	Ludman et al.			
	3	4,660,934	04/28/87	Akiba et al.			
	4	4,740,951	04/26/88	Lizet et al.			
	5	4,743,083	05/10/88	Schimpe			
	6	4,746,186	05/24/88	Nicia			
	7	4,773,063	09/20/88	Hunsperger et al.			
	8	4,786,133	11/22/88	Gidon et al.			
	9	4,824,193	04/25/89	Maeda et al.			
	10	4,834,474	05/30/89	George et al.			
	11	4,923,271	05/08/90	Henry et al.			
	12	4,938,553	07/03/90	Maerz et al.			
	13	5,107,359	04/21/92	Ohuchida			
	14	5,195,161	03/16/93	Adar et al.			
	15	5,357,591	10/18/94	Jiang et al.			
	16	5,450,511	09/12/95	Dragone			
	17	5,768,450	06/16/98	Bhagavatula			
	18	5,812,318	09/22/98	Babbitt et al.			
	19	5,830,622	11/03/98	Canning et al.			
	20	6,011,884	01/04/00	Dueck et al.			

FOREIGN PATENT DOCUMENTS

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Sheet	2	of	11
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First Named Inventor	Thomas W. Mossberg
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Examiner Name	
Attorney Docket Number	005455.P002

U.S. PATENT DOCUMENTS

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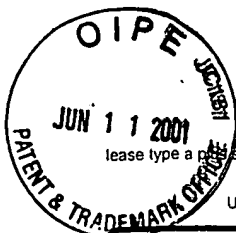
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				First Named Inventor	Thomas W. Mossberg
				Group Art Unit	
				Examiner Name	
				Attorney Docket Number	005455.P002

OTHER ART (Including Title, Author, Date, Pertinent Pages, etc.)

Exam. Initials	Cite No.	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.
	1	B.A. CAPRON, ET AL., Design and Performance of a Multiple Element Slab Waveguide Spectrograph for Multimode Fiber-Optic WDM Systems., Journal of LightWave Technology, Vol. 11 No. 12., December 1993., IEEE Log No.92111169, Pgs. 2009-2014
	2	R.J. DERI, ET AL., Quantitative Analysis of Integrated Optic Waveguide Spectrometers., IEEE Photonics Technology Letters, Vol. 6, No. 2, February 1994., Pgs.242-244.
	3	A. GRUNNET-JEPSEN, ET AL., Fibre Bragg grating based spectral encoder/decoder for lightwave CDMA. Electronics Letters Vol. 35., No. 13., June 24th, 1999., Pgs. 1096-1097
	4	P.PADDON AND JEFF F. YOUNG, Simple approach to coupling in textured planar waveguides, Optical Society of America 1998, Vol. 23, No. 19. Pgs. 1529-1531.
	5	C.K. MADSEN, ET AL., Planar Waveguide Optical Spectrum Analyzer Using a UV-Induced Grating, IEEE Journal of selected topics in quantum electronics, Vol. 4, No. 6, November 1998, Pgs. 925-929
	6	EMILIO GINI, ET AL., Polarization Independent InP WDM Multiplexer/Demultiplexer Module., Journal of Lightwave Technology, Vol. 16, No. 4., April 1998, Pgs. 625-630.
	7	ROBERT W. DAY, ET AL., Filter-Response Line Shapes of Resonant Waveguide Gratings., Journal of Lightwave Technology. Vol. 14, No. 8, August 1996., Pgs. 1815-1824.
	8	K.A. MCGREER., Tunable Planar Concave Grating Demultiplexer., IEEE Photonics Technology Letters, Vol. 8. No. 4, April 1996., Pgs. 551-553.
	9	SUNING TANG, ET AL., A Novel Wavelength-Division-Demultiplexer with Optical In-Plane to Surface-Normal Conversion., IEEE Photonics Technology Letters, Vol. 7, No. 8, August 1995
	10	K.A. MCGREER., Diffraction from Concave Gratings in Planar Waveguides., IEEE Photonics Technology Letters, Vol. 7. No. 3, March 1995., Pgs. 324-326.
	11	HIROKAZU TAKENOUCI, ET AL., Analysis of optical-signal processing using an arrayed-waveguide grating., Optics Express, Vol. 6, No. 6, March 13, 2000., Pgs. 124-135.
	12	A.GRUNNET-JEPSEN, ET AL., Demonstration of All-Fiber Sparse Lightwave CDMA Based on Temporal Phase Encoding., Photonics Technology Letters, Vol. 11 No. 10, Oct. 1999.

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				Application Number	09/843,597
Sheet 4 of 11				Filing Date	April 26, 2001
				First Named Inventor	Thomas W. Mossberg
				Group Art Unit	
				Examiner Name	
				Attorney Docket Number	005455.P002

OTHER ART (Including Title, Author, Date, Pertinent Pages, etc.)

Exam. Initials	Cite No.	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.
/	13	RANDALL BABBITT, ET AL., Optical waveform processing and routing with structured surface gratings., Optics Communications 148, 1998., Pgs. 23-26.
/	14	GERALD A. BRIGHAM, ET AL., Analysis of scattering from large planar gratings of compliant cylindrical shells., Acoust Society of America, Vol. 61, No. 1, January 1977. pgs. 48-59.
/	15	T.KUROKAWA, ET AL., Time-space-conversion optical signal processing using arrayed-waveguide grating., Electronics Letters Vol. 33, No. 22, October 23, 1997. Pgs. 1890-1891.
/	16	AASMUND Sv. SUDBO, ET AL., Reflectivity of Integrated Optical Filters Based on Elliptic Bragg Reflectors., Journal of Lightwave Technology Vol. 8, No. 6, June 1990. Pgs. 998-1006.
/	17	CHARLES H. HENRY., Four-Channel Wavelength Division Multiplexers and Bandpass Filters Based on Elliptical Bragg Reflectors., Journal of Lightwave Technology Vol. 8. No. 5, May 1990 IEEE., Pgs. 748-755.
/	18	E.M. KOONTZ, ET AL., Preservation of rectangular-patterned InP gratings overgrown by gas source molecular beam epitaxy., Appl. Phys. Lett Vol. 71, No. 10, September 1997., pgs. 1400-1402.
/	19	SEOK HO SONG, ET AL., Focusing-grating-coupler arrays for uniform and efficient signal distribution in a backboard optical interconnect., Optical Society of America 1995., Applied Optics Vol. 34, No. 26., September 10, 1995., Pgs. 5913-5919.
/	20	JOHN C. BRAZAS, ET AL., Analysis of input-grating couplers having finite lengths., Applied Optics Vol. 34, No. 19., July 1, 1995., Pgs. 3786-3792.
/	21	KEITH A. BATES, ET AL., Gaussian beams from variable groove depth grating couplers in planar waveguides., Applied Optics Vol. 32, No. 12., April 20, 1993., Pgs. 2112-2116.
/	22	S.S. WANG, ET AL., Theory and applications of guided-mode resonance filters., Applied Optics Vol. 32 No. 14., May 10, 1993., Pgs. 2606-2613.
/	23	R. MAGNUSSON, ET AL., New Principle for optical filters., American Insitute of Physics 1992., Appl. Phys. Lett. Vol. 61, No. 9., August 31, 1992., Pgs. 1022-1024.
/	24	S.M. OJHA, ET AL., Demonstration of low loss integrated InGaAsP/InP demultiplexer device with low polarisation sensitivity., Electronics Letter Vol. 29, No. 9., April 29, 1993.

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09/843,597

APPLICANT

Thomas W. Mossberg

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April 26, 2001

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U.S. PATENT DOCUMENTS

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FOREIGN PATENT DOCUMENTS

DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUBCLASS	TRANSLATION	
					YES	NO

OTHER DOCUMENTS (Including Author, Title, Date, Pertinent Pages, Etc.)

	LIFENG LI., Analysis of planar waveguide grating couplers with double surface corrugations of identical period., 1995 Elsevier Science B.V., Optics Communications 114., Pgs. 406-412.
	J.B.D. SOOLE, ET AL., High speed monolithic WDM detector for 1.5 um fibre band., Electronics Letters Vol. 31., No.15., July 20, 1995., Pgs. 1276-1277.
	J.T. RANTALA, ET AL., Sol-gel hybrid glass diffractive elements by direct electron-beam exposure., Electronics Letters Vol. 34., No. 5., March 5, 1998., Pgs. 455-456.

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DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUBCLASS	TRANSLATION	
					YES	NO

	M.A. COWIN, ET AL., Compact polymeric wavelength division multiplexer., Electronics Letters Vol. 35., No. 13., June 24, 1999., Pgs. 1074-1076.
	J. CANNING, ET AL., Grating structures with phase mask period in silica-on-silicon planar waveguides., 1999 Elsevier Science B.V., Optics Communications 171., Pgs. 213-217.
	P.K. TIEN, ET AL., Use of concentric-arc grating as a thin-film spectrograph for guided waves., 1980 American Institute of Physics., Pgs. 524-525.

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OTHER DOCUMENTS (Including Author, Title, Date, Pertinent Pages, Etc.)

	AKIMASA KANEKO, ET AL., Design and Applications of Silica-Based Planar Lightwave Circuits., IEEE Journal of selected topics in quantum electronics Vol. 5., No. 5., September/October 1999., Pgs. 1227-1236.
	Z. J. SUN, ET AL., Demultiplexer with 120 channels and 0.29-nm channel spacing., IEEE Photonics Technology Letters, Vol. 10, No. 1., January 1998., Pgs. 90-92.
	C.K. MADSEN, ET AL., Planar waveguide optical spectrum analyzer using a UV-induced grating., IEEE Journal of selected topics in quantum electronics., Vol.4, No. 6., November/December 1998., Pgs. 925-929.

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	JVAN A. AVRUTSKY, ET AL., Multiwavelength diffraction and apodization using binary superimposed gratings., IEEE Photonics Technology Letters, Vol. 10, No. 6, June 1998., Pgs. 839-841.
	A.T. ALAVIE, ET AL., A Multiplexed bragg grating fiber laser sensor system., IEEE Photonics Technology Letters, Vol. 5, No. 9, September 1993., Pgs. 1112-1114.
	XIAOLI FU, ET AL., 1x8 supergrating wavelength-division demultiplexer in a silica planar waveguide., 1997 Optical Society of America., Optics Letters Vol. 22, No. 21., Pgs. 1627-1629

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	M.R. WANG, ET AL., Five-channel polymer waveguide wavelength division demultiplexer for the near infrared., IEEE Photonics Technology Letters, Vol. 3. No. 1., January 1991., Pgs. 36-38
	MICHAEL R. WANG, ET AL., Wavelength-division multiplexing and demultiplexing on locally sensitized single-mode polymer microstructure waveguides., 1990 Optical Society America, Optics Letters Vol. 15, No. 7., April 1, 1990, Pgs. 363-365.
	CHUNMENG WU, ET AL., Simplified coupled-wave equations for cylindrical waves in circular grating planar waveguides., Journal of Lightwave Technology, Vol. 10, No. 11, November 1992., Pgs. 1575-1589.

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	LOUAY ELDADA, ET AL., Dispersive properties of planar polymer bragg gratings., IEEE Photonics Technology Letters, Vol. 12, No. 7, July 7, 2000., Pgs.819-821.
	RAY T. CHEN, ET AL., Guided-wave planar optical interconnects using highly multiplexed polymer waveguide holograms., Journal of Lightwave Technology, Vol. 10, No. 7, July 1992., Pgs. 888-897.
	V. MINIER, ET AL., Diffraction characteristics of superimposed holographic gratings in planar optical waveguides., IEEE Photonics Technology Letters, Vol. 4, No. 10, October 1992

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JOHAN BACKLUND, ET AL., Multifunctional grating couplers for bidirectional incoupling into planar waveguides., IEEE Photonics Technology Letters, Vol. 12, No. 3, March 2000., Pgs. 314-316.

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